



# Strategic Plan 2006 - 2008

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Clerk of the Superior Court  
in Maricopa County



**MICHAEL K. JEANES**  
Clerk of the Superior Court



## CLERK'S MESSAGE:

I am pleased to present the Clerk of the Superior Court's Office Strategic Plan for 2006-2008.

This Plan is the result of a dedicated effort by the Clerk's Office senior management team and staff, led by the Strategic Planning Group, to create a structured set of priorities, goals and objectives focused on addressing the significant issues facing our organization. The elements of this Plan represent a blueprint for change that will improve the quality of the services we provide to our customers, promote an environment of continuous improvement, increase employee satisfaction and retention, and enhance our efficiency in delivering services.

The purpose of this document is to communicate the goals of the Clerk's Office and promote a common understanding among all employees and stakeholders to ensure alignment of resources to meet the aggressive, yet realistic goals set forth in this Plan.

### The Priorities and Goals:

- ◆ Realize the increasing demand for availability and timely access to court records and the necessary use of technology to meet those demands (Electronic Document Management and distribution, including automated workflows)
- ◆ Recognize the significant improvement in cost efficiency through the use of advanced technology for the acceptance, storage, and retrieval of court records (eFiling and Document Scanning)
- ◆ Acknowledge the significance of the security of sensitive data contained in court records
- ◆ Focus on the importance of employee satisfaction to deliver outstanding service for our customers, including the need to train, promote, and retain key employees
- ◆ Highlight the necessity of informed decision-making, planning, and accountability
- ◆ Identify the value of strong partnerships with the legal community, Supreme Court, Superior Court, and the Board of Supervisors in Maricopa County
- ◆ Emphasize the need for communication and change management



The ultimate responsibility for implementing this Plan belongs to each employee. I am confident that together, we will meet our mission to provide progressive and efficient court-related records management and financial services for the justice system, legal community, and public so that they have fair and timely access to accurate court records and services.

**MICHAEL K. JEANES**  
Clerk of the Superior Court



# STRATEGIC PLAN AT A GLANCE

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## Strategic Priority 1 - Strategic Planning

- Goal 1.1 - Complete the Strategic Plan
- Goal 1.2 - Refine the process improvement model for continuous improvement
- Goal 1.3 - Create the Change Management Plan
- Goal 1.4 - Fully adopt the Managing for Results program

## Strategic Priority 2 - Electronic Court Record

- Goal 2.1 - Authorization to dispose of paper case file records after imaging
- Goal 2.2 - Provide remote access to parties in their case
- Goal 2.3 - Complete Statement of Compliance for EDMS
- Goal 2.4 - Expand current eFiling program
- Goal 2.5 - Develop a plan to promote, educate, and train users of the Electronic Court Record
- Goal 2.6 - Complete a plan to image and film paper files at the Customer Service Center

## Strategic Priority 3 - Legislative/Regulations

- Goal 3.1 - Participate proactively on Rule 123 to balance privacy with public access
- Goal 3.2 - Develop comprehensive legislative package annually to promote the Clerk's mission

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# STRATEGIC PLAN AT A GLANCE

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## Strategic Priority 4 - Employee Development & Customer Service

- Goal 4.1 - Implement 4 STAR program to recruit, train, promote, and retain key employees
- Goal 4.2 - Initiate Retention Planning
- Goal 4.3 - Initiate Succession Planning
- Goal 4.4 - Identify and develop alternative work approaches

## Strategic Priority 5 - Financial Management

- Goal 5.1 - Implement a new Cash Receipting System
- Goal 5.2 - Complete enhancements to improve processing/reporting payments for Juvenile and Adult Probation
- Goal 5.3 - Automate reporting capabilities

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## **STRATEGIC PRIORITY 1:**

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## **STRATEGIC PLANNING**

**The Clerk of the Superior Court will utilize an organized strategic planning process to prioritize major initiatives focused on the timely delivery of the most cost-effective, customer-focused solutions for the justice community and the public.**

Often organizations are preoccupied with immediate issues and lose sight of their ultimate goal. A well-executed strategic plan promotes a common understanding across the entire organization of the goals and desired outcome for the future. The process of strategic planning will assist the Clerk's Office in providing the right information to make thoughtful decisions and the ability to promote the success of initiatives that are well-planned and well-executed.

In order to effectively manage the finite resources of the Clerk's Office with the increasing demand for services, the Clerk established the Division of Strategic Planning and Change Management (Strategic Planning) in July 2005. The Division is responsible for initiating, developing, tracking, and maintaining the strategic plan for the Clerk of the Superior Court in Maricopa County. By using a process established to determine alignment of initiatives to the strategic plan, the Clerk's Office will effectively prioritize initiatives and allocate resources accordingly.

Strategic Planning will facilitate a coordinated planning effort with key stakeholders to effectively identify critical issues affecting the Clerk's Office, services requested from our customers, and potential process improvement opportunities. Input gathered will be used to develop a strategic set of priorities, goals, and objectives focused on improving service for our customers.

Ensuring cost-effective and timely delivery of services involves assessing processes for potential improvements. As changes are implemented, employees and stakeholders who are impacted by those changes need assistance with managing change and understanding the new process. The Strategic Planning Division provides support services in both conducting process improvement evaluations and establishing change management strategies. The Division also assists the Clerk's Office in being results oriented by serving as the Department's Strategic Coordinator in the County Managing for Results program.



# STRATEGIC PRIORITY 1: STRATEGIC PLANNING

## Goal 1.1 Strategic Plan

By April 2006, the Strategic Planning Division will complete the Clerk's Office Strategic Plan for 2006-2008.

Strategic Planning will initiate a comprehensive planning process to meet with stakeholders to identify current issues and initiatives. These issues and initiatives will be captured and classified in a strategic planning matrix under one of five Strategic Priorities – Strategic Planning, Electronic Court Record, Regulatory Affairs, Employee Development, or Financial Services.

Major initiatives will be transferred to a standardized Goal Template used to identify and consolidate all related issues, establish baseline performance indicators, and outline key objectives supporting each goal. The template will enhance the planning process through the identification of Goal Leads who, with selected team members, will refine key objectives and establish aggressive and realistic timelines for completion of each objective. Each Goal Template will then be used to facilitate strategic planning sessions with senior management and administrators who will further refine and approve each goal to ensure alignment to the Strategic Priorities of the Clerk's Office, the Strategic Agenda for the Supreme Court, and the Strategic Priorities and Goals of Maricopa County.

The result of this planning process is the written plan, which incorporates each Strategic Priority and Goal into a document to be shared with all Clerk's Office employees, Maricopa County, the Arizona Supreme Court, the Superior Court of Maricopa County, and other identified stakeholders. The Plan will also be available to the public from the Clerk's internet website ([www.clerkofcourt.maricopa.gov](http://www.clerkofcourt.maricopa.gov)).

Key objectives supporting this goal include:

- ◆ By September 2005, Strategic Planning will create a comprehensive strategic planning workbook to consolidate each priority, goal, and objective into one planning resource.
- ◆ By November 2005, Strategic Planning will organize and facilitate strategic planning sessions with identified stakeholders.
- ◆ By April 2006, Strategic Planning will finalize the Strategic Plan, distribute to stakeholders, and post on the Clerk's website for public access to the Plan.
- ◆ Strategic Planning will develop semi-annual progress reports to highlight major achievements toward implementation of the Plan.



# STRATEGIC PRIORITY 1:

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## STRATEGIC PLANNING

### Goal 1.2 Process Improvement

By June 2006, the Process Improvement Team will develop a Process Improvement Plan to standardize the qualification and approval of process improvement initiatives and provide an organized approach to support timely implementation of these improvements.

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In order to support the Clerk's mission for continuous improvement, the Process Improvement Team will create a plan to guide its efforts in evaluating current processes in the Office. The Team will focus on supporting individuals and groups who suggest process improvements. They will offer a comprehensive program that fully documents the existing process (As-Is Process), evaluates the potential process change (To-Be Process) for impact to stakeholders, and examines costs and resources needed to implement the proposed improvement.

Key objectives supporting this goal include:

- ◆ By December 2005, develop the charter for the Process Improvement Team.
- ◆ By January 2006, develop a process improvement methodology to efficiently capture, qualify, and approve new process improvement initiatives for the Office.
- ◆ Identify and submit award applications for qualifying process improvement projects.

### Goal 1.3 Change Management Plan

By September 2006, the Strategic Planning and Change Management Division will complete a Change Management Plan to address the change from a paper-centric environment to an electronic environment.

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Continuing the Clerk's Office transition from a paper environment to an electronic environment will have a significant impact on the Clerk's employees and customers. In order to mitigate any fears or concerns, and to provide for successful and widespread adoption of all electronic initiatives, the Clerk will complete a comprehensive Change Management Plan. The Plan will incorporate feedback from stakeholders and will outline each element of change management for those individuals or groups. Our goal is to teach effective change management and coping skills for Clerk's Office personnel and stakeholders. By sharing a set of skills with all staff, we hope to create a common view of change, and help to support common strategies for coping with it effectively.



# STRATEGIC PRIORITY 1:

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## STRATEGIC PLANNING

Key objectives supporting this goal include:

- ◆ By April 2006, Training and Staff Development will develop a mandatory Change Management class for employees that outlines the Clerk's Office Strategic Plan and related change management scenarios.
- ◆ By August 2006, Strategic Planning, in cooperation with Training and Staff Development, will complete and circulate a draft of the Change Management Plan.

### Goal 1.4 Managing for Results (MFR)

By December 2006, the Clerk of the Superior Court will fully implement the County's Managing for Results program to provide accountability for results oriented government.

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In 2000, Maricopa County began to implement Managing for Results (MFR), including the development of departmental strategic plans that integrated strategic planning with budgeting and performance measurement. This program is meant to provide the foundation for a highly integrated management system focused on results for customers.

The Clerk's Office has actively participated in the MFR program since its inception. Various elements of the County's program have been enhanced or changed over the last six years, and the Clerk's Office has adjusted its MFR program to incorporate those changes. In fact, the creation of the Strategic Planning Division is an example of the Clerk's commitment to one of the tenets of MFR – strategic planning. The Division will utilize MFR as a meaningful program to establish our goals, budget for expected results, report on our key performance indicators, and make fact-based strategic decisions to support a model of continuous improvement. Full implementation of MFR in 2006 includes ensuring there is a solid alignment of all Managing for Results components with Budgeting for Results components. Strategic Planning will focus on alignment of all, except the performance management components that are managed by another Clerk's Office division.

To ensure effective integration of all MFR components within the department, the Clerk's Office will establish a steering committee tasked with program oversight responsibilities. The committee will include members from each major program area of the Office to assure accurate representation regarding each MFR measurement reported quarterly to the Office of Management and Budget. In addition, policies, procedures, data collection processes, and other informational documents that govern MFR will be compiled into a single resource guide as one means of building continuity in managing the program.





## **STRATEGIC PRIORITY 1:**

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## **STRATEGIC PLANNING**

Having a solid foundation regarding MFR concepts and requirements is essential for all Clerk's Office employees. Therefore, the Public Affairs and Education Office, in cooperation with the MFR steering committee, will develop a communications plan to educate employees on the program and disseminate quarterly performance results. It is important for each employee to understand how his/her work aligns to the strategic goals of the Office and to the related MFR measure(s).

Key objectives supporting this goal include:

- ◆ By March, 2006, create a draft MFR Program Manual to include policies and procedures for each major element of MFR.
- ◆ By April 2006, establish a Steering Committee for the Clerk's MFR program development and oversight.
- ◆ By May 2006, develop a communications plan to educate all Clerk's Office employees about the Managing For Results program.



## STRATEGIC PRIORITY 2:

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## ELECTRONIC COURT RECORD (ECR)

By January 1, 2007 (commonly referred to as 1/1/07), the Clerk of the Superior Court will adopt and maintain the ECR as the official record for Adult case types filed on and after January 2, 2002.

The Clerk's Office is achieving its mission to provide progressive and efficient electronic services through the utilization of exciting new technologies to assist in eliminating the placement of paper documents into hard copy files. *The vision of the Clerk's Electronic Document Management (EDM) operation is to replace the current paper-centric official court record with electronic documents and images. These images will be maintained in electronic form from inception (eFiling or scanning) to ultimate disposition. Court records will be accessible remotely and simultaneously by all users, and workflow and document routing will be automated to maximize the efficiency of court operations.*

In January, 2002, the Office began scanning the paper documents it received for filings in Criminal, Civil, Family Court, Mental Health, and Tax case types (Probate documents have been scanned since December 1997). The majority of documents filed in these case types are scanned and converted to electronic documents under a carefully structured and monitored Quality Control process.

The electronic repository of images now contains over 10 million documents. These electronic records are being accessed by over 4,300 Court, Clerk's Office, and criminal justice agency personnel, as well as public users who utilize these records daily from computer terminals in the public records areas. The justice system relies upon court records being readily available and complete whenever needed by any court personnel or party to a case.

An electronic records management system provides the following benefits:

- ◆ Improved records storage efficiencies
  - Staffing a Records Room in order to file documents into case files and to pull files for customers is a labor intensive and time consuming process for storing, maintaining, and distributing case information. Resources currently assigned to these Fileroom activities can be reallocated and trained to perform electronic record functions such as scanning and docketing.
  - Electronic records are more easily searched and retrieved.
  - Electronic records requires significantly less storage space.
- ◆ Simultaneous access to and viewing of a court record by multiple parties, agencies, and departments
- ◆ Improved efficiency of processing documents throughout multiple COSC work areas
  - Multiple areas may work simultaneously from the same document image, eliminating the dependency on another area's work completion.
  - Electronic routing versus paper distribution is more secure and eliminates copying and physical distribution of documents.

## STRATEGIC PRIORITY 2:

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# ELECTRONIC COURT RECORD (ECR)

- ◆ Remote access to the ECR from a customer's office
  - Remote access is already available to Court departments and some outside agencies.
  - Remote access for parties to their case is being pursued, which will provide parties and attorneys access to their specific case information.
- ◆ Electronic distribution and routing of documents/minute entries: Many attorneys and agencies receive copies of minute entries electronically, which replace the paper process for delivering minute entries and provides the ability to electronically route these documents automatically to the correct individual.
- ◆ Security of the court record is improved through the ECR by:
  - Eliminating the potential for losing documents that are routed from one area/agency to another
  - Eliminating the potential for customers to remove documents from a court record, thus creating an incomplete record
  - Eliminating the potential for customers to alter the content of documents in a court record, or change the sequence of the documents

Several significant goals supporting this priority have been identified. A summary of these goals is:

**Goal 2.1:** By August 2006, the Clerk will seek authority to dispose of paper case files after imaging and storage of the electronic record.

**Goal 2.2:** By July 2006, the Clerk will execute its Statement of Compliance for its EDMS.

**Goal 2.3:** The Clerk will provide Remote Party Access to the ECR for parties to their case.

**Goal 2.4:** The Clerk will continue to aggressively expand its eFiling program to all case types.

**Goal 2.5:** By May 2006, the Clerk's Public Affairs and Education Office will develop a comprehensive plan to promote and educate users about the benefits of the ECR.

**Goal 2.6:** By June 2006, the Clerk's Office will complete a plan to replace existing microfilm cameras with an imaging/filming operation.

## STRATEGIC PRIORITY 2:

# ELECTRONIC COURT RECORD (ECR)

### Goal 2.1 Authority for Electronic Court Record (ECR)

By August 2006, the Clerk of the Superior Court will obtain authorization from the Supreme Court of Arizona to dispose of original paper case file records after they have been imaged and stored in the Clerk's electronic document management system (EDMS).

In an effort designed explicitly to enable the Arizona Clerks of Superior Court to store their records permanently in electronic format and relieve them of the necessity of maintaining paper records or converting them to microfilm, the Arizona Judicial Council submitted a petition to the Arizona Supreme Court on December 17, 1997, to amend the Arizona Rules of Civil Procedure 79(f) [now Supreme Court Rule 94(g)]. Supreme Court Rule 29(B) was cited in the petition as the model for how Superior Court records should be maintained:

*"Rule 29. Court Records.*

*(B) Appellate Court Records.*

*(2) For case file records which must be maintained permanently, a photographic or electronic reproduction or image of the original record shall be maintained in a place and manner as will reasonably assure its permanent preservation."*

The proposed amendment was adopted on January 29, 1999, with the comment that any imaging of court records permitted by the rule be accomplished in accordance with the administrative guidelines adopted concurrently with the amendment, and citing the continuing obligation to adhere to A.R.S. 12-282(C) regarding notification of the Department of Library, Archives and Public Records of records designated for destruction.

Unfortunately, this amendment failed to address the requirement of ARCP 79(g), now Supreme Court Rule 94(h), and Arizona Rules of Criminal Procedure 28.1(b), which both provide for the destruction of original documents, but only "when the particular action or proceeding is no longer subject to modification." Until we eliminate these requirements, we cannot promptly dispose of the original paper documents after securing them in the ECR.

While our ultimate goal is to amend the provisions of Supreme Court Rule 94(h) and Arizona Rules of Criminal Procedure 28.1(b), this is unlikely to take place prior to August, 2006. Our alternative strategy will be to secure an interim administrative order or suspension of these rules, urging that such an order is necessary for the efficient administration of justice.



## STRATEGIC PRIORITY 2: ELECTRONIC COURT RECORD (ECR)

### Goal 2.2 Remote Party Access

The Clerk of the Superior Court will grant secure remote access to available electronic documents within the Clerk's Electronic Document Management System to parties with appropriate authority.

With the implementation of OnBase, the Clerk's EDMS application, the expectation of Clerk's Office customers is the ability to access the ECR remotely. In particular, members of the private bar and the public who are participants in Superior Court cases demand this level of service. To accommodate their expectation, the Clerk will implement a delivery method by which the Clerk's systems will authenticate the user, grant security clearance based on positive authentication, and allow access to documents related to that user.

It is imperative that the Clerk abides by Arizona Supreme Court Rule 123 to ensure that electronic court files remain 'relatively obscure,' and maintain with reasonable certainty that remote access to the ECR for a specific case is only available to those participating in the case.

### Goal 2.3 Electronic Document Management

By July 1, 2006, the Clerk of the Superior Court will be able to demonstrate the integrity of its Electronic Document Management System (EDMS) and execute a Statement of Compliance to this effect.

On average, the Clerk's Office scans over 200,000 paper documents per month. These images are stored in the Clerk's EDMS to enable the judicial system to receive, store, route, and make available electronic documents and eliminate paper document processing.

In order to assure users of the accuracy and security of the Electronic Court Record, the Clerk's EDM Group will comply with all requirements identified in its Statement of Compliance, including improved timeliness and accuracy of record processing, availability, distribution, and sharing. The Statement will outline industry standards for electronic document management systems and the Clerk's compliance with each standard.

## STRATEGIC PRIORITY 2:

### ELECTRONIC COURT RECORD (ECR)

Requirements in the Statement include the Clerk's compliance with acceptable scanning and quality control procedures. To ensure electronic documents meet strict standards and the information is accurately captured, the Office created a Quality Control Unit comprised of six employees. The unit fully audits an average of 16,000 scanned documents monthly to identify potential processing errors, such as missing pages and illegible file dates.

Another significant element of a secure and reliable EDMS is the protection and backup of all documents. The Clerk has accomplished several goals related to this issue, including the establishment of the Clerk's EDM Hot Site, where a backup database of all electronic images is maintained. EDM staff will also complete a Disaster Scenario Plan to effectively anticipate and mitigate potential loss of data due to disasters such as floods, power failures, or other events that threaten the security of data within the EDMS.

Key objectives supporting this goal include:

- ◆ Secure an enterprise license to allow access to document images for all OnBase user groups
- ◆ Complete and test the non-production EDM server (i.e. Hot Site)
- ◆ Document security and access control methodologies
- ◆ Identify and maintain long-term storage requirements (hardware)
- ◆ Complete system architectural diagrams
- ◆ Document audit and certification processes
- ◆ Relocate Hot Site to Durango facility
- ◆ Complete EDMS Disaster Scenario Plan

#### Goal 2.4 E-Filing

The Clerk's Office will continue to aggressively expand its eFiling program to all case types.

Over the past two years, the Clerk's Office has launched three eFiling pilot programs which, among many benefits, reduce the amount of paper processed and handled throughout the court system. The Clerk receives eFiled documents in their original, electronic form which is vital to increase the speed and accuracy of processing the case. 235,000 paper documents are filed with the Clerk of the Superior Court monthly. These paper documents must then be sorted, scanned, quality controlled, 'rebuilt,' transported, and then placed in hard-copy files. These files fill more than 1,000 shelving units in the Clerk's Customer Service Center. In contrast, eFiled documents are received, quality controlled, and then available for authorized viewing, without the need for lengthy and resource intensive paper handling.

## STRATEGIC PRIORITY 2:

# ELECTRONIC COURT RECORD (ECR)

The continuing success and adoption of eFiling is a driving force behind the Clerk's goal for an Electronic Court Record. eFiling allows participating parties to electronically file their documents with the Clerk and enables the Court to electronically review all documents filed. The Clerk's Office will continue to build on the success of its existing eFiling program in Criminal cases, Complex Civil Litigation, and limited Civil Cases through aggressive expansion to all case types. This will increase the efficiency and timeliness of document processing and provide the Court with timely, fair, and secure access to accurate electronic court records.

Key objectives supporting this goal include:

- ◆ Complete a multi-vendor integration model to move vendors on-line and available to process eFilings by August 2006
- ◆ By December 2006, complete the expansion of eFiling to all Criminal trial divisions
- ◆ Amend Administrative Order to require eFiling on all subsequent documents (Criminal divisions)
- ◆ By December 2006, complete the expansion of eFiling to all Civil trial divisions
- ◆ Complete a comprehensive business analysis for Probate Court by September 2006
- ◆ Complete a comprehensive business analysis for Family Court by December 2006
- ◆ Participate in planning process for eFiling of eForms in Family Court

### Goal 2.5 Promotion and Training

By May 2006, PA&E and Training will develop a comprehensive plan to promote the ECR and educate "users" of the Electronic Court Record.

In order to prepare for the transition to an Electronic Court Record, the Clerk will utilize effective means to promote the change from a paper-centric to electronic environment and educate users about the nature of the change. The Clerk recognizes the importance of educating all users about changes promulgated by new electronic processes and the numerous, important benefits associated with these new processes.

Key objectives supporting this goal include:

- ◆ Identify all affected parties/groups involved with electronic court records and create a database for distribution
- ◆ Develop programs to communicate about ECR at an information level appropriate for the targeted audience
- ◆ Promotion, Promotion & Education, and Promotion, Education & Training
- ◆ Utilize eLearning and traditional classroom approaches as fundamental training methodologies
- ◆ Develop a training program specific to the ECR, including timeline leading to 1/1/07.

## STRATEGIC PRIORITY 2:

# ELECTRONIC COURT RECORD (ECR)

### Goal 2.6 Imaging/Filming for File Room

By June 15, 2006, the Clerk's Office will complete a plan to replace existing microfilm cameras and upgrade the current micrographics operation to establish an imaging process which will produce both archival microfilm and electronic images for storage and retrieval in the EDMS.

A significant element of the Clerk's goal to adopt and maintain the ECR as the official court record involves the imaging of existing paper files stored at the Customer Service Center. Storage capacity at the CSC is nearing critical mass. In addition to the 1,000 shelving units needed to store current and post-2001 case files, additional facility space and shelving units are used to house inactive and pre-2002 case files. Converting the inactive cases to electronic format and eliminating the corresponding hard copy files will reduce the amount of space needed to store court records. The electronic images will also be easier to retrieve and access than the hard copy documents. Moreover, approximately 260,000 pages of paper can fit onto one 5.25-inch optical disk as an electronic image.

The EDM Coordinator will research available technology, vendors and funding options and recommend a solution for the Clerk's Office to scan existing case files. A draft plan will be prepared that addresses how the scanning project will be staffed, budgeted and scheduled to meet specified production goals.

Key objectives supporting this goal include:

- ◆ Explore technology, vendor, and funding options to scan inactive case files and present recommendations to senior management.
- ◆ Prepare an estimated budget and identify funding to implement proposed solution.
- ◆ Prepare a draft plan with specific staffing allocations, target implementation date, and production goals.





## **STRATEGIC PRIORITY 3:**

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## **LEGISLATIVE AFFAIRS**

The Clerk of Superior Court will continue its proactive role in policy and rule making to ensure our ability to implement the appropriate operational processes and procedures to balance privacy concerns with public access needs.

The functions of the Clerk of the Court satisfy more than 500 state statutes and court rules. Court policies and procedures are implemented to carry out functions mandated in statutes, administrative orders, local rules and other legislated rules. One role of the Clerk's Public Affairs and Education (PA&E) team is to be a liaison with the Arizona Legislature and other governing bodies that impact the services court agencies provide. PA&E, along with managerial subject matter experts, represent the Clerk's Office to propose new legislation and, if necessary, ensure accurate and efficient implementation.

### **Goal 3.1 Clarify Scope of Rule 123**

The Clerk of the Superior Court will seek clarification of the exact scope of Supreme Court Rule 123 and provide comment to appropriate parties/organizations within designated timeframes to ensure our ability to comply with final requirements.

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On June 6, 2005, the Supreme Court issued an order to amend Supreme Court Rule 123 that addresses public access to records and the security of personally identifying information included in those records. To comply with the new rule, certain business practices and automated systems need to be enhanced or changed. In addition, court personnel and customers of the court will need training regarding new procedures.

The original effective date of the amended rule was December 1, 2005. Successful implementation of the required changes proved to be unattainable by several agencies involved. The Administrative Office of the Supreme Court (AOC) agreed to postpone the effective date and required that a workgroup find solutions for effectively implementing Rule 123.

The Clerk's Office will participate in the AOC workgroup to determine practical solutions to amended Rule 123 and ensure its successful implementation.

## STRATEGIC PRIORITY 3:

### LEGISLATIVE AFFAIRS

#### Goal 3.2 Legislative Package

The Clerk of Superior Court will develop a comprehensive legislative package annually to address issues/concerns with proposed legislation and to introduce new legislation that will promote the mission of the Clerk's Office.

Clerk's Office managers work with Public Affairs and Education, under the direction of the Chief Deputy, to recommend proposals for changes to statutes that govern our services. The Chief Deputy, as the legislative liaison for the Clerk's Office, prepares proposals for legislative changes and tracks legislation that could have an impact on our services.

Prior to each legislative session, the Chief Deputy obtains input regarding potential issues impacting the court that could be addressed by the legislature. Issues are identified by Clerk's Office management and the Arizona Association of Superior Court Clerks (AASCC).

Legislative changes are generally requested on behalf of Clerk's offices statewide. AASCC provides direction as to which issues warrant a proposal for legislative change. The Chief Deputy prepares proposals, which are submitted to the Arizona Association of Superior Court Clerks (AASCC) and the Arizona Association of Counties (AACo) for Board consideration. The Chief Deputy meets with appropriate legislators to discuss and track issues and bills that have a potential impact on the Clerk's Office. For bills that impact the Clerk's Office, the Chief Deputy will actively lobby to gain support for the Clerk's recommended course of action.

For proposals that are not submitted to AACo, the Chief Deputy conducts detailed analysis and determines what future course of action should be taken to resolve the identified issue.

- ◆ Participate/present at Arizona Association of Superior Court Clerks (AASCC) Legislative meeting to discuss potential issues/proposals.
- ◆ Obtain Clerks' approval (state-wide) on legislative issues and related proposals at the AASCC meeting.
- ◆ Submit all legislative proposals to AACo for Board consideration.
- ◆ Meet with appropriate legislators on bills/issues and track outside bills for potential Clerk impact.
- ◆ Actively lobby to gain support on bills which impact the Clerk's Office.
- ◆ Complete detailed analysis on proposals not included in AACo package and determine future course of action.



## STRATEGIC PRIORITY 4: EMPLOYEE DEVELOPMENT

The Clerk of Superior Court will ensure high levels of employee satisfaction through development and implementation of initiatives that address employee recruitment, training, development, and retention.

Part of being successful in providing high quality customer service involves ensuring that the workforce is engaged and satisfied with their environment. It involves matching an individual's skills and knowledge with the job he or she performs, and providing opportunities to grow within that position or expand to another. To be an "employer of choice," the Clerk's Office has several strategic goals related to employee development.

### Goal 4.1 4 STAR Program

By January 2007, the Clerk of Superior Court's Human Resources Office will have implemented their 4 STAR (Four Step Training, Advancement, and Retention) program offering all employees essential training and opportunities for personal and professional advancement to improve retention and provide work schedule flexibility.

Having a structured orientation program assists a new employee with transitioning into a new work environment. An employee is more likely to be satisfied and maintain the initial excitement of starting a new job if given a solid foundation in what the office does and what performance expectations are in place.

Phases One and Two of the 4 STAR program address employee orientations. Each new employee attends an orientation the first day and a half of employment (Stage One), learning about benefits, essential computer skills and general court functions. Each new employee also attends a day-long orientation (Stage Two), offered monthly, that provides additional details about Clerk's Office operations, ethics training and a customer service class presented by the Clerk of Superior Court.

Phases One and Two are fully operational and under continual review for opportunities to enhance the orientation programs. The goal is to have new employees attend the Phase Two orientation within the first month of employment.

Phase Three entails the Training and Staff Development team developing a "job book" for every position in the Office. A job book provides information about the tasks performed and outlines training that a person needs to complete to be knowledgeable and proficient in performing the required tasks.



## STRATEGIC PRIORITY 4:

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## EMPLOYEE DEVELOPMENT

Phase Four addresses the development of employees. Strategies to collaborate with community colleges in offering classes and to create a Learning Resource Center have been initiated by Training and Staff Development. That team will continue to implement initiatives that promote employee development.

Key objectives supporting this goal include:

- ◆ Ensure each new employee goes through First Steps.
- ◆ Conduct New Employee Orientation (NEO) within the first month of each new employee's start date.
- ◆ Complete job books for each position.
- ◆ Formalize career planning/mentoring program.

### Goal 4.2 Retention Plan

By January 2007, the Clerk of Superior Court will complete its Retention Plan to reduce employee turnover and to improve retention of talented employees.

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A high turnover rate contributes to a lack of continuity to provide high quality customer service. Identifying causes of turnover in the Clerk's Office and finding solutions for eliminating barriers to employee satisfaction will support the Clerk's goal to reduce turnover and increase retention of talented employees.

The Human Resources Manager will establish a Retention Planning Team charged with recommending a process to follow for development of the Retention Plan. Following the approved process, the team will draft a Retention Plan and submit it to senior management for review and ultimate approval.

Key objectives supporting this goal include:

- ◆ Form a retention planning team to establish a process for development of the Retention Plan.
- ◆ Complete a draft Retention Plan and circulate to senior management for comment.
- ◆ Continue collaboration with Maricopa County Office of Management and Budget, Compensation Division, to keep employee salaries competitive with the public and private sector.
- ◆ Offer on-going structured professional development certificate programs to all levels of Clerk's Office staff.
- ◆ Provide continuous on-the-job and career development training programs that are supportive of the Clerk's Office Retention Plan.

## STRATEGIC PRIORITY 4:

# EMPLOYEE DEVELOPMENT

### Goal 4.3 Succession Plan

By March 2007, the Clerk of the Superior Court will complete its Succession Plan to ensure knowledge and leadership transfer to key employees identified through the COSC's Succession Planning Policy.

It is vital for organizational continuity to have a structured approach to prepare key employees for assuming leadership responsibilities vacated by a retiring leader. Prior to a key employee's departure from the Office, it is also important to document and detail the employee's knowledge about the job so that the person assuming the employee's duties has a strong understanding of ongoing issues and processes.

The Employee Relations Manager will form a succession planning team to evaluate existing and available policies and identify a process for development of the Succession Plan. Evaluation of the County's Succession Planning policies and procedures is included in the review. The team will draft a Succession Plan and submit it to senior management for comment.

Key objectives supporting this goal include:

- ◆ Form a succession planning team to identify and develop a process for development of the succession plan by June 2006.
- ◆ Complete an evaluation of the County's succession planning policies and procedures.
- ◆ Complete a draft Succession Plan and circulate to senior management for comment by October 2006.

### Goal 4.4 Alternative Work Options

By October 2006, the Clerk of Superior Court will complete a structured plan to provide eligible employees with alternative work options.

Maricopa County is actively promoting teleworking as one alternate work option. The Clerk's Office participates on the County's committee established to develop a teleworking policy and program.

The Clerk's Office is exploring a variety of alternative work options and how different types of work areas can offer options appropriate to their tasks. A cross-functional team will establish the goals and guidelines of alternative work options available to Clerk's Office employees and will draft an alternative work options plan and submit it to senior management for approval.

Key objectives for this include:

- ◆ Set up a cross-functional team to establish the goals and guidelines of alternative work options including teleworking and pay for performance.
- ◆ Complete a draft plan and circulate to senior management for approval.



## STRATEGIC PRIORITY 5:

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## FINANCIAL MANAGEMENT

The Clerk of Superior Court, as the statutory fiduciary of the Superior Court, will implement and maintain financial processes that support a unified approach to eBusiness, and provide for the timely and accurate collection, disbursement, and reporting of court ordered payments.

Integration of systems that house court records and related financial records will streamline data entry processes and enhance reporting capabilities. The court and financial records share common case information, so being able to enter data into one system and pull it into another will eliminate duplicate data entry and ensure that both systems contain the same data. Accounts established and maintained by the Clerk are based upon information provided in court orders, so having financial systems that are compatible with the electronic court record is a natural unification of our eBusiness. Where integration is not possible, enhance automation of the financials will compliment the eBusiness strategies implemented in non-financial areas.

### Goal 5.1 Cash Receipt System

The financial services group will implement a new Cash Receipting System at all locations where cash is receipted to create greater flexibility in collecting payments (including ePayments) and to enhance real-time information exchange with Court Administration and other County departments.

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A new Cash Receipting System (CRS) to support an eBusiness approach is under development. Meticulous attention to audit requirements, accountability regarding statutorily mandated procedures, and integration of financial and court records has been the critical foundation to develop the CRS. The system will facilitate processing monies at all COSC locations, as well as by Adult Probation personnel who perform cashiering functions on behalf of the Clerk's Office.

Implementation of the new CRS is planned as a staged roll out. The billing and accounting work units within the Clerk's Office will be the first areas to use the new CRS. The second stage will see CRS implemented in all other work units of the Clerk's Office that use the CRS, such as filing counters. Finally, cashiering functions performed by Adult Probation and Superior Court Administration will be assessed and CRS implemented in the appropriate work areas in those departments.

Key objectives supporting this goal include:

- ◆ Implement CRS in Billing and Accounting units.
- ◆ Implement CRS for the remaining COSC units.

## STRATEGIC PRIORITY 5:

### FINANCIAL MANAGEMENT

#### Goal 5.2 Receivables-Payables

The Clerk of Superior Court will work to replace its receivables/payables financials module by December, 2006, to improve the functionality for Juvenile and Adult Probation to process and apply payments.

Processing court-ordered restitution, fines and reimbursements ordered, to be paid by a defendant or other party to a case, constitutes a major component of the Clerk's fiduciary responsibilities. Individuals on probation, (Juvenile or Adult), primarily interact with the appropriate probation department, rather than with the Clerk's Office; however, court-ordered monies are paid to the Clerk's Office and much of the money is handled as a pass through that is paid to a third party. Enabling the probation departments to perform receivables/payables functions will provide a one-stop processing venue for the probationers. It will also give the probation departments greater visibility of their clients' progress toward meeting their financial obligations.

A financial module that provides for processing and applying payments made by Juvenile Probation clients will be implemented. Development of the module has begun. A financial module that provides for processing and applying payments made by Adult Probation clients will be implemented. Joint workgroups will be employed to address Juvenile and Adult needs concurrently.

Key objectives supporting this goal include:

- ◆ Complete implementation of juvenile solution.
- ◆ Complete implementation of adult solution.



## **STRATEGIC PRIORITY 5:**

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## **FINANCIAL MANAGEMENT**

### **Goal 5.3 Reporting**

The Financial Services Division, in cooperation with ITG, will continue to automate its reporting capabilities to easily extrapolate and compile data in required reporting and data exchange formats.

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Strategic decisions are based on data. Gathering and compiling data manually, particularly the large volume of data generated by the Superior Court workload, is laborious and subject to errors. The Financial Services Division includes fiduciary services, as well as document processing services such as accepting documents for filing and docketing and scanning those documents. Approximately 8,000 new documents are received for processing daily. Automating the collection, compilation and reporting of financial and document processing statistics will greatly enhance the validity and availability of strategically useful information.

Crystal Reports is the application used to produce reports from the new Cash Receipting and Receivables System. The Auditor and Systems Consultant will become expert users of Crystal Reports and generate reports from the financial systems used to make business decisions and to report financial transactions.

One of the Activity measures that is reported for MFR purposes involves how many documents are received for scanning (Demand) and how many are scanned (Output) each month. The volume of documents being processed and sources of data for calculating that volume demand an automated solution to generate statistical reports. Currently, a manual calculation of Demand is not feasible. A means of collecting necessary data electronically and generating a detailed report will be developed. Other reports needed for MFR and business decision reasons will also be created for document processing and financial activities.